

Docket No. PRMSP0300US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Wu et al.  
Serial No.: 10/757,119  
Filed: January 14, 2004  
For: NORBORNENE-TYPE MONOMERS AND POLYMERS CONTAINING PENDENT LACTONE OR  
SULTONE GROUPS  
Art Unit: Not yet known  
Examiner: Not yet known

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed, except for (a) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120, and (b) any U.S. patent or U.S. patent application publication if the present application was filed after June 30, 2003 or entered the national stage under 35 USC § 371 after June 30, 2003:

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) \_\_\_\_ A copy of each English language version of a search report (or EPO Search Report) indicating the degree of relevance found by the foreign office of each document being submitted from the search report, is being submitted herewith or has previously been submitted.
- (b) \_\_\_\_ Attached is a "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) X \_\_\_\_ Within 3 months of the filing date or date of entry into the National Stage.
- (b) \_\_\_\_ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.
- (c) \_\_\_\_ Before the mailing date of a first Office Action on the merits after a first or second submission after final rejection under 37 C.F.R. 1.129(a).



(d) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988

(e) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or

(2) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the undersigned's knowledge after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

By

  
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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 02/13/04

  
Janet Farr

Form PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS  
FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Atty Docket No.

PRMSP0300US

Serial No.

10/757,119

Applicant: Wu et al.

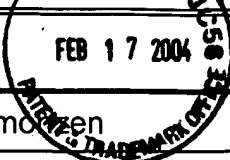
Filing Date

01/14/04

Group

## U.S. PATENT DOCUMENTS

Examiner Initials	Document Number	Date (MM/YYYY)	Name	Class	Subclass	Filing Date if Appropriate
	4,857,426	08/1989	Bott et al.	430	18	
	5,087,677	02/1992	Brekner et al.	526	160	
	5,324,801	06/1994	Brekner et al.	526	160	
	5,371,158	12/1994	Brekner et al.	526	127	
	5,422,409	07/1995	Brekner et al.	526	281	
	5,468,819	11/1995	Goodall et al.	526	171	
	5,569,730	10/1996	Goodall et al.	526	282	
	5,571,881	11/1996	Goodall et al.	526	171	
	5,602,219	02/1997	Aulbach et al.	526	160	
	5,605,726	02/1997	Gibbons et al.	428	1	
	5,637,400	06/1997	Brekner et al.	428	137.3	
	5,663,308	09/1997	Gibbons et al.	534	573	
	5,698,645	12/1997	Weller et al.	526	160	
	5,714,304	02/1998	Gibbons et al.	430	270.11	
	5,733,991	03/1998	Rohrmann et al.	526	160	
	5,760,139	06/1998	Koike et al.	525	200	
	5,783,636	07/1998	Koike et al.	525	199	
	5,881,201	03/1999	Khanarian et al.	385	146	
	5,916,971	06/1999	Koike et al.	525	197	
	6,057,466	05/2000	Starzewski et al.	556	19	
	6,121,340	09/2000	Shick et al.	522	31	
	6,136,499	10/2000	Goodall et al.	430	270.1	
	6,166,125	12/2000	Sugiyama et al.	524	462	
	6,169,052 B1	01/2001	Brekner et al.	502	152	



Examiner Initial	Document Number	Date (MM/YYYY)	Name	Class	Subclass	Filing Date if Appropriate
	6,183,934 B1	02/2001	Kawamoto et al.	430	270.1	
	6,197,984 B1	03/2001	Makovetsky et al.	556	146	
	6,214,951 B1	04/2001	Brekner et al.	526	160	
	6,232,417 B1	05/2001	Rhodes et al.	526	171	
	6,265,131 B1	07/2001	Chang et al.	430	270.1	
	6,284,429 B1	09/2001	Kinsho et al.	430	270.1	
	6,294,616 B1	09/2001	Rhodes et al.	525	332.1	
	6,538,087 B2	03/2003	Zhao et al.	526	280	
	2003/0176583	09/2003	Rhodes et al.	525	326.2	

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date (MM/YYYY)	Country	Class	Sub-class	Translation	
						Yes	No
	96/37528	11/1996	WO				
	00/20472	04/2000	WO				
	00/24726	05/2000	WO				
	00/34344	06/2000	WO				
	0 445 755 A2	09/1991	EP				

## OTHER ART

Examiner Initial	Author, Title, Date, Pertinent Pages, etc.
	Uetani et al.; "Positive ArF resist with 2eAdMA/GBLMA resin system"; SPIE Conference on Advance Resist Technology and Processing XVI, 1999; SPIE Vol. 3678; pp. 510-513.
	Nozaki et al.; "New Protective Groups in Alicyclic Methacrylate Polymers for 193-nm Resists"; <i>Journal of Photopolymer Science and Technology</i> ; Vol. 10, No. 4; 1997; pp. 545-550.
	Chan et al.; "New Chiral Sultam Auxiliaries: Preparation and Their Application in Asymmetric Diels-Alder Reactions"; <i>Tetrahedron: Asymmetry</i> ; Vol. 8, No. 15; pp. 2501-2404; 1997.
	Brodsky et al.; "157 nm Resist Materials: Progress Report"; <i>J. Vac. Sci. Technol. B</i> 18(6); Nov./Dec. 2000; pp. 3396-3401.
	Hung et al.; "Resist Materials for 157 nm Microlithography: An Update"; <i>Proceedings of the SPIE</i> , Vol. 4345; Conference held in Santa Clara, CA 2/2001.
	Chiba et al.; "157 nm Resist Materials: A Progress Report"; <i>Journal of Photopolymer Science and Technology</i> ; Vol. 13, No. 4; 2000; pp. 657-664.



Examiner (Print)	Author, Title, Date, Pertinent Pages, etc.
	Patterson et al.; "Polymers for 157 nm Photoresist Applications: A Progress Report"; Proc. of SPIE; Vol. 3999, Advances in Resist Technology and Processing XVII, 2000.
	Hung et al.; "Synthesis of Alicyclic Polymers for 157 nm Photoresists by PD <sup>2+</sup> Catalyzed Vinyl Addition Polymerization"; California Institute of Technology, Posted March 14, 2003.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

### Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

Z:\SEC132\NAD\Promerus\300US.ids.wpd (IDS1449.FRM) (2/97)